

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)*

1. Person Reporting (last name, first, middle initial) WILKEN, CLAUDIA	2. Court or Organization USDC FOR THE NO DIST OF CALIF	3. Date of Report 05/07/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US DISTRICT JUDGE, SENIOR	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 1301 CLAY STREET OAKLAND, CA 94612		
IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</i>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	TRUSTEE	TRUST #3
2.	TRUSTEE	TRUST #5
3.	TRUSTEE	TRUST #6
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions)*

☒ NONE *(No reportable agreements.)*

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	SELF-EMPLOYED ATTORNEY
2. 2019	RETROACTIVE SALARY ADJUSTMENT FROM STATE OF CALIFORNIA
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Wells Fargo Bank accounts	A	Interest	L	T					
2. Schwab Cash Deposit Account	A	Int./Div.	J	T					
3. USAA Tax Exempt Inter-term Fd	A	Dividend	J	T					
4. Schwab S&P 500 Index Fd	A	Dividend	K	T					
5. Schwab Bank (cash account)	A	Interest	K	T					
6. Schwab Value Advantage Money Market Fund	A	Dividend	K	T	Open	01/17/19	K		
7. Schwab S&P 500 Index Fd	C	Dividend	M	T	Sold (part)	08/19/19	J	C	
8.					Sold (part)	09/03/19	J	C	
9. USAA Tax Exempt Inter-term Fd	C	Dividend	M	T	Buy (add'l)	01/07/19	J		
10.					Buy (add'l)	08/20/19	J		
11.					Buy (add'l)	09/04/19	J		
12.					Buy (add'l)	09/23/19	J		
13. Baird Core Plus Bd Inv	B	Dividend	K	T	Sold (part)	04/08/19	J	A	
14. Schwab Fund Intl Large Co Index	B	Dividend	K	T	Buy (add'l)	09/23/19	J		
15. Schwab Fund Intl Small Co Index	A	Dividend	J	T	Buy	09/23/19	J		
16. Dodge & Cox Income Fd	A	Dividend	J	T					
17. Schwab Bank Savings Sweep	A	Int./Div.	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Charles Schwab US REIT	A	Dividend	J	T	Buy (add'l)	09/16/19	J		
19.					Buy (add'l)	12/18/19	J		
20. IShares Gold ETF		None	J	T	Buy (add'l)	12/18/19	J		
21. Schwab Emerging Markets Equity ETF	A	Dividend	J	T	Buy (add'l)	08/21/19	J		
22.					Buy (add'l)	09/16/19	J		
23.					Buy (add'l)	12/18/19	J		
24. Schwab Fundamental Emerg Mkts Lg Co ETF	A	Dividend	J	T	Buy (add'l)	08/21/19	J		
25.					Buy (add'l)	09/16/19	J		
26.					Buy (add'l)	12/18/19	J		
27. Schwab Fundamental Intl Lg Co ETF	B	Dividend	K	T	Buy (add'l)	08/21/19	J		
28.					Buy (add'l)	09/16/19	J		
29.					Buy (add'l)	12/18/19	J		
30. Schwab Fundamental Intl Sm Co ETF	A	Dividend	J	T	Buy (add'l)	08/21/19	J		
31.					Buy (add'l)	09/16/19	J		
32.					Buy (add'l)	12/18/19	J		
33. Schwab Fundamental US Large Co ETF	B	Dividend	K	T	Buy (add'l)	08/21/19	J		
34.					Buy (add'l)	09/16/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35.					Buy (add'l)	12/18/19	J		
36. Schwab Fundamental US Small Co ETF	A	Dividend	K	T	Buy (add'l)	08/21/19	J		
37.					Buy (add'l)	09/16/19	J		
38.					Buy (add'l)	12/18/19	J		
39. Schwab International Equity ETF	A	Dividend	K	T	Buy (add'l)	08/21/19	J		
40.					Buy (add'l)	09/16/19	J		
41.					Buy (add'l)	12/18/19	J		
42. Schwab International Small Cap Eqty ETF	A	Dividend	J	T	Buy (add'l)	08/21/19	J		
43.					Buy (add'l)	09/16/19	J		
44.					Buy (add'l)	12/18/19	J		
45. Schwab US Large Cap ETF	A	Dividend	K	T	Buy (add'l)	08/21/19	J		
46.					Buy (add'l)	09/16/19	J		
47.					Buy (add'l)	12/18/19	J		
48. Schwab US Small Cap ETF	A	Dividend	K	T	Buy (add'l)	08/21/19	J		
49.					Buy (add'l)	09/16/19	J		
50.					Buy (add'l)	12/18/19	J		
51. VanEck Vectors JP Morgan EM Loc Curr Bd ETF	A	Dividend	J	T					

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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52. Vanguard Global ex-US Real Est ETF	B	Dividend	J	T					
53. SPDR Blmbrg Brcly Emg Mkt LCL ETF	A	Dividend	J	T	Buy (add'l)	08/21/19	J		
54.					Buy (add'l)	09/16/19	J		
55.					Buy (add'l)	12/18/19	J		
56. Xtrackers Inter Real Est ETF	A	Dividend	J	T	Buy	09/16/19	J		
57.					Buy (add'l)	12/18/19	J		
58. Xtrackers USD High Yield Cor Bond ETF	A	Dividend	J	T	Buy (add'l)	08/21/19	J		
59.					Buy (add'l)	09/16/19	J		
60.					Buy (add'l)	12/18/19	J		
61. IShares CA Muni Bond ETF	A	Dividend	K	T	Buy (add'l)	08/21/19	J		
62.					Buy (add'l)	09/16/19	J		
63.					Buy (add'l)	12/18/19	J		
64. Schwab US TIPS ETF	A	Dividend	J	T	Buy (add'l)	08/21/19	J		
65.					Buy (add'l)	09/16/19	J		
66.					Buy (add'l)	12/18/19	J		
67. IRA #1: Schwab Cash Deposit Account	A	Interest	J	T					
68. IRA #1: Schwab Bank (cash account)	A	Interest	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
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69. IRA #1: Baird Core Plus Bd Inv	A	Dividend	J	T					
70. IRA #1: BNY Mellon Small Cap Stock Index Fd	B	Dividend	J	T					
71. IRA #1: Invesco S&P Intl Dev Low Volatility ETF	C	Dividend	L	T					
72. IRA #2: Schwab Bank (cash account)	A	Interest	J	T					
73. IRA #2: Dodge & Cox Income Fd	C	Dividend	M	T					
74. IRA #2: Vanguard 500 Index Fd	C	Dividend	N	T	Sold (part)	11/14/19	J	D	
75. IRA #2: Ishares Russell 2000	A	Dividend	K	T	Sold (part)	11/14/19	J	B	
76. IRA #2: Baird Core Plus Bd Inv	C	Dividend	M	T					
77. IRA #2: Schwab US Aggregate Bond ETF	A	Dividend	J	T					
78. IRA #2: Ishares Core S&P ETF	B	Dividend	L	T	Sold (part)	11/14/19	J	C	
79. IRA #2: SPDR S&P 500 ETF	B	Dividend	M	T					
80. IRA #2: SPDR S&P Dividend ETF	A	Dividend	K	T					
81. IRA #2: Invesco S&P Intl Dev Low Volatility ETF	B	Dividend	L	T					
82. IRA #2: Schwab Fund Intl Large Co Index	A	Dividend	J	T					
83. SEP-IRA #1: Schwab Cash Deposit Account	A	Interest	J	T					
84. SEP-IRA #1: Baird Core Plus Bd Inv	A	Dividend	J	T					
85. SEP-IRA #1: Schwab S&P 500 Index Fd	A	Dividend	K	T					

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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86. SEP-IRA #1: SPDR S&P 500 ETF	A	Dividend	J	T					
87. SEP-IRA #1: Schwab Fund Intl Small Co Index	A	Dividend			Sold	06/21/19	J		
88. SEP-IRA #1: Schwab US Aggregate Bond ETF	A	Dividend	K	T	Buy (add'l)	04/22/19	J		
89.					Buy (add'l)	08/19/19	J		
90. SEP-IRA #1: Schwab Fund Intl Large Co Index	A	Dividend	J	T	Buy	06/21/19	J		
91. Trust #3: Schwab 529 60% Equity Portfolio		None	K	T	Buy (add'l)	01/22/19	J		
92. Trust #5: Schwab 529 60% Equity Portfolio		None	K	T	Buy (add'l)	01/22/19	J		
93. Trust #6: Schwab 529 80% Equity Portfolio		None	J	T	Buy (add'l)	01/22/19	J		

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Investments and Trusts:

Omission of the following asset disclosed on previous report due to age-based exchange of Sec. 529 education fund on 11/5/19, with no purchase or sale by filer:

Trust #6: Schwab 529 95% Equity Portfolio

New fund name is Schwab 80% Equity Portfolio (see item #93)

Omission of the following asset disclosed on previous report due to mutual fund name change in May of 2019, with no purchase or sale by filer:

IRA #1: Dreyfus Small Cap Stock Index Fd

New fund name is BNY Mellon Small Cap Stock Index Inv (see item #70)

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **S/ CLAUDIA WILKEN**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544